

CHAPTER 1

ARTICLE 23, RECORDS MANAGEMENT

Revised May 14, 2002

14060.1 Policy

The CDC shall maintain a records management program to ensure the efficient creation, use, maintenance, retention, preservation, and disposition of records, files, and micrographics.

14060.2 Purpose

This article establishes the requirements of the records management program as mandated by current statutes, laws, regulations, State policy, and collective bargaining agreements.

14060.3 Definitions

The following definitions are provided for the purpose of the article:

Active Record

Any record accessed frequently.

Archival Record

Any record that has historical value and is preserved permanently at the California State Archives (CSA).

California Records and Information Management (CalRIM)

Program within the California Department of General Services (DGS) that provides management consulting services to assist agencies in developing and implementing an organizational records management program.

California State Archives

The California Secretary of State is responsible for maintaining any record of historical value at CSA for public reference after the CDC's records retention period is completed.

Confidential Record

Any record which contains information exempt from individual, public, or CDC review due to legal, or security reasons.

CDC Archives

The storage location of discharged inmate/parolee records.

Inactive Record

Any record required infrequently, but must be retained until the designated destruction date.

Local Archives

Any local facility, or office storage area, where inactive or discharged records are retained in an organized boxed manner until the authorized destruction date.

Microfilm

The process of reducing the size and volume of paper records by means of micrographic technology.

Nonrecord

Any library or reference material, publications, blank form, informal notes, worksheets, and rough drafts of letters and reports.

Official Record

Any nonduplicate, authentic record maintained as the CDC's primary record, used to substantiate any necessary follow-up activities.

Personal Record

Any record that identifies or describes an individual, including, but not limited to: Name, Social Security number, physical description, home address, home telephone number, education, financial matters, medical or employment history, and statements made by or attributed to the individual. Any other information, the disclosure of which, would constitute an unwarranted invasion of personal privacy (see Chapter 3, Article 20, Personnel Policies). Civil Code Sections 1798-1798.1, Information Practices Act (IPA), protects the collection, maintenance,

and dissemination of personal records. (See Department Operations Manual (DOM), Chapter 1, Article 15, Information Practices.)

Public Record

Any record maintained by the CDC relating to the Department's business conduct that can be made available for public inspection in accordance with the Public Records Act. (See DOM, Chapter 1, Article 16, Public Records.)

Record

Any paper, map exhibit, electronic disk or type, microfilm image, photographic film or print, building plan, or drawing.

Records Coordinator (RC)

The individual responsible for the CDC's Records Management Program and is located in headquarters.

Records Destruction

The appropriate disposition of records through recycling, or confidential destruction.

Records Retention Schedule (RRS)

The document governing the authorized retention and disposition of all agency record systems as identified in CDC's Records Retention Handbook.

Records Transfer

The organized movement of inactive, or discharged records to the State Records Center (SRC), CDC headquarters, or local archives for further retention, or the transfer of ownership to the CSA for historical purposes.

State Records Center

The off-site records storage location owned and maintained by DGS to provide inactive records storage and confidential records destruction services for the State agencies.

Vital Record

Any record that is essential for daily performance, or reconstruction of basic CDC programs during and following a major disaster.

14060.4 Responsibility

Headquarters' Administrative Services Division shall plan, organize, implement, and administer records management program policies and procedures.

14060.5 Training

CDC staff shall be provided general training regarding the policies and procedures to be followed to ensure compliance with State laws and regulations pertaining to records management.

14060.6 Records Management

The following are provisions for Record Management within the CDC in accordance with current statutes, laws, regulations, State policy, and collective bargaining agreements.

14060.6.1 Records Coordinator

The Records Coordinator (RC) shall:

- Ensure the necessity, availability, and maintenance of records.
- Ensure the disposal of unnecessary records.
- Coordinate micrographic activities.
- Provide assistance to records liaisons.
- Submit required records reports.
- Obtain approval of record retention schedules.
- Arrange transfer of inactive/discharged records to SRC.
- Coordinate destruction of obsolete/discharged records by the paper recycle, or confidential destruction programs.
- Approve and coordinate requests for purchase of filing, micrographic, and document destruction equipment.

14060.6.2 Records Liaisons

Each division office, parole region, and facility shall appoint a records liaison that shall work with the RC to provide efficient records management. Staff Services Analysts shall be appointed for each parole region, and Procurement and Services Officers I and II (Correctional Facility) shall be appointed for each institution/facility.

14060.6.3 Records Disclosures

Public records shall be available to the public and to all offices but shall be removed only by authorized employees. Staff removing file material from its proper location shall replace the file material or folder with a card showing the following:

- Title of borrowed record.
- Name of borrower.
- Date record is borrowed.

Employees shall refer to the following for additional information:

| Subject | DOM | Contact Person |
|-----------------------|-----------------------|------------------------------|
| Public Information | Chapter 1, Article 13 | Public Information Officer |
| Information Practices | Chapter 1, Article 15 | Local IPA liaison |
| Public Records | Chapter 1, Article 16 | Local Public Records Officer |
| Legal Matters | Chapter 1, Article 18 | Assistant Deputy Director |

14060.6.4 Records Locations

The following locations maintain the official records listed.

| Location | Official Records |
|---|--|
| CSA | Historical documents selected to be retained for public research |
| CDC Archives | Inactive inmate/parolee case records |
| Institution/facility | Institution/facility employee records, inmate case records, and blueprint drawings |
| Local Archives | Inactive facility records |
| Parole Region | Appropriate parolee case records |
| Personnel Transactions | Official personnel files for headquarters |
| Office of Correctional Planning | Facility blueprints and drawings |
| Regulation and Policy Management Branch | CDC regulation and policy files |
| SRC | Inactive or discharged CDC files, and confidential records for destruction |

14060.6.5 Records Reports and Inventories

The State Administrative Manual (SAM) mandates that the CDC complete and submit the Annual Progress Report on Records Management to DGS, CalRIM. This report is due to DGS by August 30. The RC shall coordinate the report and forward a report summary to Executive Staff.

SAM also mandates that each agency must inventory its records at least once every five years. The RC shall coordinate this inventory.

14060.6.6 Record Retention Schedule

The guidelines for the legal retention, disclosure, and destruction of all CDC records are listed in each operational unit's RRS.

Within three months after implementation of each operational unit, an RRS shall be initiated, and every five years thereafter, the RRS shall be updated. The RC shall provide the new operational unit a Std. Form 70, Records Inventory Worksheet, to be completed from which the RRS will be created. Every five years thereafter, a Std. Form 70 shall be provided the operational unit, along with a copy of the current approved Std. Form 73, RRS, and a Std. Form 72, Request for Approval of RRS, for review and approval. All forms shall be returned to the RC for further revision or processing.

Once approved by CalRIM and CSA, the RRS shall be included in the CDC Records Retention Handbook. The updated RRS's will be distributed to provide all units with current RRS's.

14060.6.7 Records Filing

Active Records

Active records shall be filed in an organized manner for the retention period listed in the RRS. Exception: Duplicate records must be routinely purged and retained a minimal time period.

Inactive or Discharged Records

Inactive or discharged records shall be filed in an organized manner in boxes in the appropriate archives (e.g., local archives for facility records, SRC for CDC headquarters' records, or CDC's headquarters' archive for inmate/parolee case records).

The following steps shall be followed in filing records:

Inspecting: Employees shall ensure that the record has been released for filing.

Equipment Labeling: File shelves and drawers shall be plainly labeled for easy identification of contents.

Master File Index List: A Master File Index List of all files on each shelf or drawer shall be retained by the file equipment and be easily visible.

Indexing: Employees shall determine an appropriate file caption for the record.

Coding: The file caption shall be written in the upper right-hand corner of the record or underlined if it is already plainly visible on the record.

Sorting: Employees shall sort records before filing.

Filing: When a file folder is filled, a new folder shall be created, labeled, and filed in front of it.

Out Card: Records removed from files shall be replaced by out cards in the record or file place. The out card should identify the record title, borrower name, and date removed.

14060.6.8 Records Transfer And Retrieval

Inactive/discharged records shall be transferred to the appropriate storage location as designated by the unit's RRS.

CSA

Historical records shall be transferred once the CDC relinquishes ownership. The transfer and retrieval processes are:

- Transfer Process: Place all historical records in record storage containers and prepare a Std. Form 71, Records Transfer List, to accompany the shipment. Forward the Std. Form 71 to the RC who will notify the unit when the records have been approved to ship. Ten boxes or less should be sent directly to the CSA. For more than ten boxes, the RC will check with the CSA prior to shipping. The CSA staff shall contact the RC or local records liaison and shall authorize shipment, or determine the review needs for larger shipments.
- Retrieval Process: CSA staff screen all incoming records to select the historical records to be retained. Records may be reviewed at the CSA, but no removal is possible.

CDC Archives

Discharged inmate/parolee case files transfer and retrieval processes are:

- Transfer Process: All files, or records shall be placed in boxes, organized by Case File Number and listed on the CDC Form 134, Records Transfer Checklist. The top page shall clearly note the

name, number, and discharge date. Records received without a discharge date shall be returned to the sending office.

- Retrieval Process: Contact CDC archive's staff for specific transfer and retrieval instructions.

Local Archives

Inactive records can be maintained at an institution/facility provided:

- They are stored in an organized manner that allows for retrieval when required.
- The area shall be sufficiently secure to allow for the institution/facility or unit to maintain the integrity of the records.
- The records are disposed of according to the approved RRS.

Although physical locations and processes may vary, each institution/facility shall designate a local archive's liaison to ensure current destruction. The transfer and retrieval processes are:

- Transfer process: Stored in record storage containers, with a label that identifies the unit name, box number, general contents, and destruction year on each box. Each unit shall maintain a master inactive records list on CDC Form 1442, Local Archives Transfer List.
- Retrieval Process: Contact the local archives liaison for specific transfer and retrieval instructions.

SRC

Inactive/discharged records transfer and retrieval processes are:

- Transfer Process: Only those items listed on an approved RRS may be stored at the SRC. Storage time must coincide with times listed and approved on the RRS. All inactive or discharged records shall be stored in records storage boxes, identifying only the Transfer List and box numbers in the appropriate area. (No other marks shall be made on the box exterior.) Transfer List numbers are issued by the RC for each records shipment and destruction year.
- The unit shall prepare a Std. Form 71 and forward the form and detailed backup list to the RC. The RC will make the necessary storage arrangements and notify the unit when the records have been approved to ship.
- Retrieval Process: Complete a Std. Form 76, SRC Reference Request, for each item or box required. The RC forwards all forms received by 9:00 a.m. for next day delivery. Same day expedite retrievals require a written request from executive level staff. Contact the RC for further information.

14060.6.9 Records Destruction

The instructions for confidential, nonconfidential, and inactive/discharged records are listed below:

Confidential Records

State employees shall witness destruction of paper records that contain exempt, confidential, or sensitive information. For those CDC units using the SRC for this type of service, all staff at the SRC are State employees, and therefore, the destruction is performed and witnessed by State employees. If a contractor, or service provider, that is not a State employee, is performing the destruction a State employee shall witness the destruction.

The records should be destroyed by on-site destruction equipment, using the State Document Destruction Center (SDDC), or local destruction contract. Destruction contracts can be implemented locally since there are no statewide destruction contracts, but a State employee witness is required.

Instructions for obtaining SDDC services are available from the RC.

Nonconfidential Records

All nonconfidential records shall be incorporated into a recycle program. Paper recycle containers are available by contacting the local recycling coordinator.

Inactive/Discharged Records

Local archives and SRC staff shall contact the coordinating staff when inactive, or discharged records are due for destruction. The operational unit responsible for the records shall approve, in writing, the destruction, or justification for an extension of the retention period.

14060.7 Records Equipment Purchases

Requests for records equipment purchases shall be forwarded to the RC. No request shall be approved unless the records are listed in an approved RRS. Contact the RC for any questions or assistance.

Record equipment purchases may be made for vertical shelf, mobile, specialized files, shredders, micrographic, or optical disk equipment. Complete and forward to the RC the appropriate purchase document as follows:

- Headquarters and P&CSD units shall submit a CDC Form 954, Intraoffice Requisition.
- Institutions/facilities shall submit a Std. Form 65, Contract/Delegation Purchase Order, or Std. Form 66, Purchase Estimate.
- A completed CDC Form 1298, Records Equipment Justification.
- Specifications, vendor brochures, or sole source justifications shall be included, if appropriate. The CDC is mandated to support Prison Industry Authority (PIA) programs. Should equipment that is available through PIA be requested for purchase from a vendor other than the PIA, a waiver must be obtained from PIA and submitted with the purchase order, or requisition.

All file equipment shall be secured in accordance with California Code of Regulations, Title 24, Part 2, Section 2-23-12, Earthquake Seismic Standards.

Drawer Files (Replacement Only) Specialized Filing Equipment

Drawer files may be purchased as replacement equipment only. SAM Section 1661 states that vertical shelf files are the State's standard filing equipment. Because of safety regulations, floor space must include an additional amount of space to facilitate an open drawer and allow for office movability.

Complete and forward the appropriate purchase document, CDC Form 954, Std. Form 65, or Std. Form 66, and the completed CDC Form 1298, and a floor plan to the RC.

Executive Drawer Files

In accordance with SAM Section 1661, non-State standard file equipment purchases are restricted to control space and excessive cost. The CDC has limited the purchase of executive drawer filing equipment to executive staff's office or work area that is subject to public view. For purposes of this article, executive staff is defined as the Director, Chief Deputy Director, Deputy Director, Assistant Director, Warden, Regional Administrator, or positions at the Career Executive Appointment (CEA) III level, or above.

Complete and forward the appropriate purchase documents CDC Form 954, or Std. Form 65, and justification memorandum, to the RC.

Document Destruction Equipment

The SDDC, located in West Sacramento, provides destruction services for confidential records from all State agencies. There are situations that require the records be destroyed locally rather than transporting to the SDDC. If an institution/facility, or office feels there is sufficient justification to support the purchase of on-site document destruction equipment, forward the below listed information and documents to the RC.

- Headquarters and P&CSD units shall submit a CDC Form 954.
- Institutions/facilities shall submit a Std Form 65 or Std Form 66.
- A completed CDC Form 1298.
- Vendor's specifications, brochures, or sole source justifications shall be included, if appropriate.

Purchase requests for Document Destruction equipment shall include an attachment that provides any and all applicable information that addresses the DGS Guidelines for Purchase or Rental of Document Shredding Equipment, item numbers 2 through 10, listed on the back side of CDC Form 1298. This will allow for the prompt review of the request.

14060.8 Micrographic And Optical Disk Management

A micrographics system is used to maintain the integrity of records that are vital to the operation of the CDC.

The RC shall review, approve, and coordinate proposed microfilm and optical disk systems. Feasibility Study Report (FSR) shall be submitted to the RC. The RC shall submit the FSR to DGS, Office of Information Services, for approval.

For proposed purchases of Micrographic/Optical Disk equipment, a FSR, or Computer Workgroup Justification Form (CWJF) (exact document is based on the dollar amount of the project and technology involved) must be prepared. The FSR or CWJF shall then be sent to the Information Systems Division for review and approval and will then be forwarded to the RC. After approval by the RC, the approved document shall be forwarded to CalRIM for final approval. Upon return of the approved document from CalRIM, it will be returned to the requestor for processing the appropriate purchase or contract document.

14060.9 Revisions

The Deputy Director, Administrative Services Division, or designee, shall ensure that the content of this article is accurate and current.

14060.10 References

Civil Code §§ 1798 et seq., IPA

SAM § 1661

California Code of Regulations, Title 24, Part 2, § 2-23-12, Earthquake Seismic Standards